

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk <sup>(*)</sup> 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator <sup>(3)</sup>	Est. Qtr Completion
<b><u>Prior Year Audits Not Completed (DNFs):</u></b>										
FY15	CAM	UCOP	DNF	<insert projects>						
<b>(a) Subtotal - Planned Carry Forward</b>										
<b><u>Planned New Audits (PNs):</u></b>										
FY15	CAM	UCOP	PN	UCOP Executive Compensation (Systemwide)		100.0	J.b.06			4
FY15	CAM	UCOP	PN	UCOP Remote Facilities – Center Sacramento		250.0	D.a.03			3
FY15	CAM	UCOP	PN	ANR 4-H Cash Review		100.0	D.b.06			1
FY15	CAM	UCOP	PN	ANR Research and Extension Center (REC) Review		150.0	D.b.05			1
FY15	CAM	UCOP	PN	Innovation Alliance Services (IAS) Cash Controls Review		100.0	H.b			3
FY15	CAM	ECAS	PN	Student Health (Systemwide)		200.0	O.b.01			2
FY15	CAM	ECAS	PN	External Financing Campus Reimbursement Process		150.0	D.d.01			4
FY15	CAM	ECAS	PN	UCPath Application Security Review		150.0	G.b.07			1
FY15	CAM	ECAS	PN	Compensation (Systemwide)		200.0	J.b.01			4
FY15	CAM	ECAS	PN	Medical Centers Clinical Enterprise Management Recognition Plan (CEMRP)		250.0	J.b.06			2
FY15	CAM	ECAS	PN	Office of the Treasurer Annual Incentive Plan (AIP)		200.0	J.b.06			2
FY15	CAM	ECAS	PN	SMG Market Reference Zones (MRZ) Implementation Review		150.0	J.b.06			2
FY15	CAM	ECAS	PN	UC Retirement Plan (UCRP) User Access Review		125.0	G.b.07			2
FY15	CAM	ECAS	PN	Retirement Administration Service Center (RASC) - Targeted Process Reviews		175.0	D.c.02			3
FY15	CAM	ECAS	PN	Athletics (Systemwide)		200.0	M.a.01			4
<b>(b) Subtotal - Planned New Audits</b>						2500.0				
FY15	CAM	UCOP	PS	<b>(c) Planned Supplemental Audits (lumpsum)</b>		600.0				
FY15	CAM	UCOP	PNF	<b>(d) Audit Follow Up (lump sum)</b>		300.0				
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						3400.0				
<b><u>Planned Advisory Services:</u></b>										
FY15	CAM	UCOP	SR	Research Grants Program Office (RGPO) System Implementation Advisory Assistance		100.0	G.b.04			4
FY15	CAM	UCOP	SR	Office of General Counsel (OGC) eBilling System Advisory Assistance		100.0	G.b.04			4
FY15	CAM	UCOP	SC	Agriculture and Natural Resources (ANR) Financial System Feasibility Study		400.0	D.b.01			2
FY15	CAM	UCOP	SC	ANR Cooperative Extension Support Costs		300.0	D.b.03			2
FY15	CAM	UCOP	SC	ANR Data Analytics Assistance		100.0	D.b.01			4
FY15	CAM	UCOP	SC	Business Resource Center (BRC) Data Analytics Assistance		100.0	H			4
FY15	CAM	ECAS	SR	UCPath - ITS Operational Readiness Assessment		300.0	G.b.05			4
FY15	CAM	ECAS	SR	UCPath Implementation Advisory Assistance		400.0	G.b.04			4
FY15	CAM	ECAS	SI	UC Path Center Controls Review		200.0	H.e.01			2
FY15	CAM	ECAS	SI	RASC Operations Key Reports Review		175.0	D.c.02			1
FY15	CAM	ECAS	SC	Family Member Eligibility Verification Advisory Assistance		50.0	J.a.01			4
<b>(e) Subtotal - Planned Advisory Services</b>						2225.0				
<b><u>Unplanned Advisory Services (by Category) <sup>(2)</sup></u></b>										
FY15	CAM	UCOP	SC	<b>Unplanned SC</b>		400				
FY15	CAM	UCOP	SE	<b>Unplanned SE</b>		320				
FY15	CAM	UCOP	SI	<b>Unplanned SI</b>		0				
FY15	CAM	UCOP	SP	<b>Unplanned SP</b>		0				
FY15	CAM	UCOP	SU	<b>Unplanned SU</b>		100				
FY15	CAM	UCOP	SR	<b>Unplanned SR</b>		0				
<b>(f) Subtotal - Unplanned Advisory Services</b>						820				
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						3045.0				
FY15		IN		<b>Planned Investigation Hours (lump sum)</b>		500				
<b>Total Audits, Advisory Services, and Investigations</b>						6945.0				

<sup>(1)</sup> Must tie with Audit Program and Advisory Services on Schedule 2 Activity Report

<sup>(2)</sup> enter lump sums for each applicable AS category (i.e. - SC, SE)

<sup>(\*)</sup> 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others

<sup>(3)</sup> IT Indicators: A – application review  
I – integrated review  
T – technical review  
S – system development or post-implementation review  
G – general controls review